

FORM PTO-1390 (Modified)
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

PRINZ H1600

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/030847INTERNATIONAL APPLICATION NO.
PCT/EP00/06575INTERNATIONAL FILING DATE
JULY 11, 2000 (11.07.00)PRIORITY DATE CLAIMED
JULY 12, 1999 (12.07.99)

TITLE OF INVENTION

OPTOELECTRONIC ASSEMBLY, COMPONENTS FOR SAME AND METHOD FOR MAKING SAME

APPLICANT(S) FOR DO/EO/US

Hans KRAGL

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Official Article 34 Notification dated 24.04.01; Response dated 10.05.01

10030847, 02220, 4202001

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492(a)(1))	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
10/03047	PCT/EP00/06575	PRINZ H1600

24. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- | | |
|--|-----------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$1040.00 |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$890.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$740.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$710.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | \$100.00 |

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
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Total claims	15 - 20 =	0	x \$18.00	\$0.00
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Independent claims	1 - 3 =	0	x \$84.00	\$0.00
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Multiple Dependent Claims (check if applicable).	<input type="checkbox"/>	\$0.00
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TOTAL OF ABOVE CALCULATIONS =

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.	\$0.00
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SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).	\$0.00
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TOTAL NATIONAL FEE =

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).	\$0.00
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TOTAL FEES ENCLOSED =

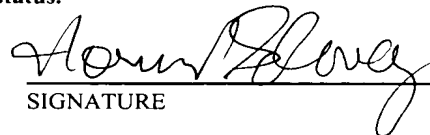
Amount to be: refunded	\$
charged	\$

- a. ☐ A check in the amount of _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-1391 A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Norman P. Soloway
Reg. No. 24,315
HAYES SOLOWAY PC
130 W. Cushing Street
Tucson, AZ 85701
(520) 882-7623



SIGNATURE

Norman P. Soloway

NAME

24,315

REGISTRATION NUMBER

January 11, 2002

DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **KRAGL**

Docket No.

PRINZ H1600

Serial No.

Filing Date

JANUARY 11, 2002

Examiner

Group Art Unit

Invention: **OPTOELECTRONIC ASSEMBLY, COMPONENTS FOR SAME AND METHOD FOR MAKING SAME**

I hereby certify that the following correspondence:

U.S. NATIONAL APPLICATION*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231

JANUARY 11, 2002*(Date)***KIMBERLY GOOD***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***ET956865254US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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10/030847
531 Ret PCT/F 11 JAN 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLN. OF Kragl

FILED: January 11, 2002

FOR: OPTOELECTRONIC ASSEMBLY, COMPONENTS FOR SAME...

DOCKET: PRINZ H1600

Commissioner of Patents & Trademarks
Washington, D.C. 20231

SUBMISSION OF INCOMPLETE APPLICATION

Dear Sir:

Submitted herewith is a transmittal letter and accompanying patent application documents which are incomplete due to the omission of a Declaration and Power of Attorney. The Applicant is: **Hans Kragl** of Amselweg 1, 31199 Diekhofen, Germany who is a German citizen. Other details will be found on the transmittal letter.

Respectfully submitted,



Norman P. Soloway
Attorney for Applicant
Reg. No. 24,315

CERTIFICATE OF EXPRESS MAILING

"Express Mail" Mailing Label No. ET956865254US
Date of Deposit January 11, 2002

I hereby certify that this paper and the papers listed thereon are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above, and is addressed to: BOX PCT, Assistant Commissioner of Patents, Washington, D.C. 20231.

Name of person mailing Kim Good

Signature of person mailing Kim Good